

NCOA^{Link}™ Full and Limited Service Providers Definitions and Certification Procedures

NCOA^{Link} Full Service Providers and Limited Service Providers are described below:

NCOA^{Link} Full Service Provider Licensees:

Full Service Provider Licensees will be required to provide ZIP+4 Coding, Delivery Point Validation (DPV), and LACS^{Link} (Locatable Address Conversion System Linkage Product) services as well as any future address hygiene products that USPS requires under the NCOA^{Link} License Agreement. License fees for the products USPS currently requires are included in the NCOA^{Link} Full Service license fee. A Full Service Provider's use of the NCOA^{Link} product for processing its own lists (including any subsidiary or affiliate) shall not exceed 49% of all input name and address records processed through Licensee's NCOA^{Link} system during a twelve month period. USPS will provide Full Service Provider Licensees with full 48-month NCOA^{Link} datasets on a weekly basis. Current NCOA Licensees that are in good standing under existing license agreements will be eligible to become NCOA^{Link} Full Service Provider Licensees.

NCOA^{Link} Limited Service Provider Licensees:

Limited Service Provider Licensees may elect to provide DPV and LACS processing but are not required to offer these services under the NCOA^{Link} License Agreement. Any applicable license and/or product fees will be charged separately to these Licensees. NCOA^{Link} datasets for an 18-month period will be provided weekly to these Licensees. Applicants to become Limited Service Providers must satisfy the application requirements prior to being eligible to enter into an NCOA^{Link} License Agreement with USPS.

A certification package must be completed for each individual site seeking to provide NCOA^{Link} processing.

Full requirements are set forth in the USPS NCOA^{Link} License Agreements and related documents. In the event of a conflict between this document and the standard NCOA^{Link} License Agreement, the terms of the NCOA^{Link} License Agreement prevail.

The following material describes the necessary steps of the certification process to qualify for a license to the NCOA^{Link} Product. Information necessary to complete all steps of the certification process is included. Applicants may work on all steps simultaneously if they desire to do so.

Applicants must submit all materials to USPS at:

NCOA^{Link} PRODUCT DEPARTMENT
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PKWY STE 201
MEMPHIS TN 38188-0001

Step 1. Application and Self-Certification Statement Approval

The following documentation must be completed and submitted by Applicant and approved by the USPS:

- Application
- Confidentiality Statement
- Self-Certification Statement
- Key Personnel Listing
- Web Access Request Form
- Security Documentation
- Site Security Review Worksheet

USPS will notify Applicant if it determines that Applicant has completed Step 1 to the satisfaction of USPS.

Step 2. Software Acquisition

Upon satisfaction of Step 1 requirements, USPS will provide applicant with an authorization code necessary to obtain NCOA^{Link} software. Applicant may either purchase software certified by USPS (authorization code required) from an NCOA^{Link} software distributor that has entered into a license agreement with USPS, or develop software for use in the Applicant's processing environment.

If Applicant elects to purchase software, Applicant may proceed to Step 3 upon acquisition of software.

If Applicant elects to develop interface software, the applicant must enter into an NCOA^{Link} Software Developer License Agreement with USPS. Under this separate license agreement, Applicant must develop interface software and apply for USPS certification prior to using that software.

After Applicant obtains USPS certified NCOA^{Link} software, through purchase or development, Applicant must notify the USPS to receive the NCOA^{Link} test data via express mail (two DVD's) and may proceed to Step 3.

Step 3. NCOA^{Link} Testing & Certification

Applicant must submit to USPS a written request and a Software Product Information Form requesting that USPS perform an NCOA^{Link} certification test. The USPS will notify Applicant when it has sent a test file. (While NCOA^{Link} testing will usually occur remotely, USPS reserves the right to perform testing on-site.)

The following items are tested in Step 3:

- Ability to correctly process test files
- Ability to provide new addresses in accordance with NCOA^{Link} Product requirements
- Ability to produce output file with appended flags
- Understanding and performance of administrative requirements which includes processing the certification test and submitting the proper paper work and/or reports.

If USPS determines that Applicant fails the initial certification test, Applicant may submit to USPS a written request for an additional certification test. USPS will require payment of \$1,000.00 for each additional certification test.

Step 4. Execution of License Agreement

Upon USPS determining that Applicant has successfully completed Steps 1 – 3, USPS will issue a certification notice and send a prorated fee chart and a standard NCOA^{Link} License Agreement to Applicant. **The NCOA^{Link} License Agreement must be signed by an officer who possesses the necessary legal authority to sign on behalf of the company, firm, or organization.** Applicant must then return the original signed standard License Agreement to USPS together with payment of the license fee. After USPS receives the signed license agreement and payment, and completes its review and approval, USPS will sign the License Agreement. USPS will then forward a copy of the fully executed License Agreement to Applicant, together with a DVD-ROM set containing the live NCOA^{Link} datasets.

NOTE: Applicants that elect to develop their own NCOA^{Link} software and/or obtain multiple licenses for commercial use (processing, sell and/or distribution) may complete Steps 2 and 3 simultaneously.

Step 1
NCOA^{Link} Full and Limited Service Provider
Application

Please Print:

Company Name: _____
Company Address: _____
City: _____ State: _____ ZIP+4: _____
Tax ID No. (TIN): _____ North American Industry Classification System (NAICS): _____
Telephone No.: _____ Fax No.: _____
Parent Company (if applicable): _____
Contact Name: _____
E-mail Address: _____

Service Level: ☐ Full Service ☐ Limited Service

ANK^{Link} Option: ☐ YES ☐ NO
(applicable to Limited Service Provider level only)

Site Identification: ☐ Primary Site ☐ Secondary Site

For Secondary Site Applications:

Provide Primary Site Authorization Code: _____

Terms and Conditions of Application for License

1. The United States Postal Service NCOA^{Link} Product may only be used by Applicant or Applicant's customers to update existing mailing lists that are used to prepare mail for the purpose of acceptance and delivery by the United States Postal Service.
2. Prior to consideration for an NCOA^{Link} License, Applicant must demonstrate its capability of mailing list preparation to the sole satisfaction of the USPS. **The Applicant must submit the Self-Certification Statement, along with this application** to enable USPS to make this determination. This information should include a description of the applicant's business and mailing-related functions and its experience in this field. Refer to the page titled "Self-Certification Statement" for the minimum specific information that must be provided.
3. Prior to consideration as an NCOA^{Link} Licensee, a potential Licensee must demonstrate that the software system to be used has obtained USPS certification.
4. No NCOA^{Link} License will be granted to the applicant prior to USPS acceptance testing and approval of the applicant's specific NCOA^{Link} software.
5. Applicant is in good standing under all existing license agreements with USPS, if any, and has received no notice of warning, suspension or termination from USPS relating either to a current or expired USPS license agreement.

6. Applicant shall submit written notice to USPS of any material change to the information submitted as part of the application and supporting documents within thirty (30) days of the occurrence of such change.

I hereby affirm that I have read and fully understand the terms and conditions listed above. I, my company, and/or firm agree to meet these terms and conditions as a prerequisite to applying for or obtaining a USPS NCOA^{Link} Full or Limited Service License Agreement. I affirm that I am an officer of the company, firm or organization and that I possess all necessary legal authority to sign on behalf of the company, firm, or organization. The materials submitted to USPS are true and complete to the best of my knowledge and belief. I understand that submission of false, fictitious or fraudulent statements or representations may be grounds for USPS terminating or suspending any License Agreement and may be punishable by fine or imprisonment (U.S. Code, Title 18, Section 1001).

Applicant Name: _____

By: _____(Signature)

Name (please print): _____

Title: _____

Date: _____

Step 1
NCOA^{Link} Full and Limited Service Provider
Confidentiality Statement

All material supplied in connection with the application for and use of NCOA^{Link} Product contains trade secrets and/or confidential technical, commercial, or other information not generally available to the public. This document, and all other material provided in connection with NCOA^{Link} technology and the data and information contained therein shall not be used, duplicated or disclosed to third parties, in whole or in part, for any purpose, without the prior express written consent of the United States Postal Service.

I hereby affirm that I have read and fully understand the terms and conditions listed above. I, my company, and/or firm agree to meet these terms and conditions as a prerequisite to using the NCOA^{Link} Product. I, my company, and/or firm further agree to continue to abide by this Confidentiality Statement whether or not the USPS awards an NCOA^{Link} License to me, my company, and/or firm. This Confidentiality Statement shall not be superseded by the award or entry into of an NCOA^{Link} License or any other agreement with the United States Postal Service, unless such agreement specifically refers to this Confidentiality Statement. I affirm that I am an officer of the company, firm or organization and that I possess all necessary legal authority to sign on behalf of the company, firm, or organization.

Product Name: NCOA^{Link} Product

Company Name (please print): _____

Name (please print): _____

Title: _____

Signature: _____ Date: _____

Please sign and return to:
NCOA^{Link} LICENSING DEPARTMENT
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PKWY STE 201
MEMPHIS TN 38188-0001

Step 1
NCOA^{Link} Service Bureau
Self-Certification Statements

The following provides clarification and specifics for Item 2 of the Application. This must be provided for evaluation along with the Application.

1. A narrative describing the nature of the applicant's business, with emphasis on its mailing-related functions and experience in this business. Include number of customers, number of files processed and approximate size, frequency of processing, and class of mailings.
2. A description of how the applicant plans to utilize NCOA^{Link} technology as part of its business or service offering.
3. Key Personnel list (attached)
4. PS Form 1357-W, Web Access Request Form (to obtain a current copy of this document, please visit <http://www.usps.com/forms/pdf/ps1357w.pdf>)
5. Security Documentation (to obtain a current copy of this document , please visit <http://www.ribbs.usps.gov/files/ncoalink/SITESECURITYREVIEW.PDF>)
6. Site Security Review Worksheet (separate document available by download – see page 12)

After review of the provided information, the USPS will notify the applicant in writing of the acceptance or rejection of its license application.

Step 1
NCOA^{Link}™ Full and Limited Service Provider
Key Personnel

LICENSING CONTACT: (Primary contacts for licensing issues)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____

SITE CONTACT: (Primary contacts for operational issues)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____

MEDIA CONTACT: (Primary contacts for data fulfillment)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____

Step 1
NCOA^{Link}™ Full and Limited Service Provider
Key Personnel

TECHNICAL CONTACT: (Primary contacts for technical issues)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____

MARKETING CONTACT: (Information to be posted on USPS RIBBS Website ☐ YES ☐ NO)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____
Company Web site: _____
Customer Service Email: _____
Customer Service Phone: _____

BILLING CONTACT: (Primary contacts for billing issues)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____

Step 1

NCOA^{Link} Full and Limited Service Provider Security Documentation

Provide a description of the specific measures taken to secure the physical and electronic environments in which the NCOA^{Link} system will reside. (Attach separate documents if necessary.) If descriptions are not clear or further clarification is needed, a diagram may be required.

The name(s) and address(es) of all parent, subsidiary and/or affiliate companies or entities ("related entities"), together with the following for each: (a) state of incorporation or registration, and (b) principal place of business.

Provide a list of all internal files/lists/databases and those of related entities which will be processed through licensee applicant's NCOA^{Link} system. Identify relational databases in this list.

In addition to the information above, a separate Site Security Review Worksheet must also be completed.

This worksheet may be downloaded from:

<http://www.ribbs.usps.gov/files/ncoalink/SITESECURITYREVIEW.PDF>

Step 3
NCOA^{Link} Full and Limited Service Provider
Software Product Information

Hardware and software used to interface with the NCOA^{Link} data:

Company Name & License Number : _____

Company's NCOA^{Link} Product Name : _____

Platform or Operating System : _____

NCOA^{Link} Software Vendor : _____

NCOA^{Link} Software Product Name : _____

NCOA^{Link} Software Product Version : _____

Is Software Hardware Dependent? : _____

Address Matching ZIP+4 Product Name : _____

Address Matching ZIP+4 Product Version: _____

Address Matching ZIP+4 System: **PLEASE CHECK ONE:**

- ☐ Open System – Defined as having the ability to modify, adjust, or tweak the application in a manner that will affect the applications ZIP+4 matching decisions. Licensees using an Open System must independently obtain CASS certification for the system.
- ☐ Closed System – Defined as **NOT** having the ability to modify, adjust, or tweak the application in a manner that will affect the applications ZIP+4 matching selection or decisions. Licensees using a Closed System will not be required to obtain separate CASS certification for the system.

Delivery Point Validation Product Name: _____

Delivery Point Validation Product Version: _____

NCOA^{Link} Software options:

- ☐ Integrated – Address Matching and NCOA^{Link} software are integrated into a single software package.
- ☐ Standalone – Address Matching and NCOA^{Link} software are separate software packages.
- ☐ ANK^{Link} Enhancement (**applicable to Limited Service Provider level only**)
- ☐ **HASH** ☐ **FLAT** ☐ **BOTH**

Service Level Option:

- ☐ Full Service Provider
- ☐ Limited Service Provider

NOTE: Checklists for all supporting documents will be available at time of testing. The USPS shall not be obligated to pay any costs incurred in preparing any technical proposal, software development costs, or testing costs regardless of whether or not the USPS awards an NCOA^{Link} License to the applicant.

Note: Please mark any item as N/A if it is not applicable.

Step 4
NCOA^{Link} Full and Limited Service Provider
Execution of License

Upon USPS determining that Applicant has successfully completed Steps 1 – 3, USPS will forward an approval letter, prorated fee chart and a standard NCOA^{Link} License Agreement to Applicant. **The NCOA^{Link} License Agreement must be signed by an officer who possesses all necessary legal authority to sign on behalf of the company, firm, or organization.** The signed, original agreement and fee payment must then be returned to the USPS at the following address:

**NCOA^{Link} LICENSING DEPARTMENT
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PKWY STE 201
MEMPHIS TN 38188-0001**

Upon USPS review and approval of the signed License Agreement and receipt of the license fee, USPS shall execute the License Agreement and return a copy to Applicant together with the live NCOA^{Link} datasets.